

# MONTH END ACTIVITY REPORT

## Bureau of Securities February 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	112	315	427
Oversales	1	0	1
Renewal Filings	474	1,147	1621
New Notice Filings	115	151	266
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	3	0	3
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	11	0	11
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	3	0	3
Gain/Loss Broker-Dealers	8	0	8
Total BD's Registered as of <b>February 28, 2010</b>	1374	28	1402
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1427	0	1427
Denied	0	0	0
Terminations	688	0	688
Gain/Loss Agents	786	0	786
Total BD Agents Registered as of <b>February 28, 2010</b>	70794	53	70847

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	15	15
Terminated/Withdrawn	0	0	0
Denied	0	0	0
Gain/Loss effective registrations	0	15	15
Total IA's Registered as of <b>February 28, 2010</b>	66	991	1057
Investment Adviser Representatives			
Activity	State	Federal	Total
New	2	42	44
Denied	0	0	0
Terminated	1	24	25
Gain/Loss effective registrations	-1	18	17
Total IAR's Registered as of <b>February 28, 2010</b>	172	3007	3179

Exemptions			
Exemption Type	Number		
8-1108.02(2)	32		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	8		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of <b>February 28, 2010</b>	40		